



# PUBLIC NOTICE

FEDERAL COMMUNICATIONS COMMISSION

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DA 02-1644

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## **Wireless Telecommunications Bureau Announces Plans for Electronic Filing of FCC Form 602**

Beginning September 10, 2002, the Wireless Telecommunications Bureau (Bureau) will make available electronic filing of FCC Form 602, FCC Ownership Disclosure Information for the Wireless Telecommunications Services (Form 602 or Ownership Information) via its Universal Licensing System (ULS). Any filer that is subject to the ownership reporting requirements of Section 1.2112(a) of the Commission's rules must file a Form 602, or file an updated Form 602 if the ownership information on a previously filed Form 602 is not current<sup>1</sup>, at the time it submits:

1. An initial application for authorization (FCC Form 601)
2. An application for license renewal (FCC Form 601)
3. An application for assignment of authorization or transfer of control (FCC Form 603)
4. A notification of consummation of a pro forma assignment of authorization or transfer of control (FCC Form 603) under the Commission's forbearance procedures

### **This Public Notice addresses the following issues:**

- Electronic filing will be available beginning September 10, 2002
- Electronic filing will be mandatory as of December 10, 2002
- As of September 10, 2002, manual filers must use the most recent version of Form 602
- FRNs are required in order to file; we encourage you to obtain FRNs now
- Interactive demonstrations will begin the week of September 17, 2002
- Legacy Form 602 database will be available indefinitely

We will release subsequent Public Notices that outline more specific information regarding electronic filing, frequently asked questions and schedules for demonstrations.

### **Mandatory Electronic Filing**

Currently, Ownership Information is submitted manually via mail or courier service to our Gettysburg, PA facility. Upon receipt, the Bureau's staff establishes hard-copy files and then scans

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<sup>1</sup> 47 C.F.R. § 1.919.

filings into digital format and makes them available via the internet.<sup>2</sup> This process is time-consuming and limits access to the filings. Further, although scanned versions of the forms are available via the internet after a number of days, there is only a limited search capability available to the public and the Commission's staff. Electronic filing via ULS will improve the current situation by introducing:

- Online error checking
- Simplified filing (*i.e.*, after an initial electronic filing, filers will have to provide us only the information that has changed)
- Immediate receipt confirmation
- Next-day access to filings for public and Commission staff
- Comprehensive query capabilities

Under the Commission's current rules, electronic filing of Form 602 is mandatory the first day this method of filing becomes available.<sup>3</sup> This requirement would be unduly burdensome, however, without a short transition period. Therefore, the Bureau, on its own motion and pursuant to delegated authority, waives the requirement that FCC Form 602, FCC Ownership Disclosure Information for the Wireless Telecommunications Services, be submitted electronically via ULS on the first day electronic filing becomes available.<sup>4</sup> In order to allow filers time to adjust to electronic filing, we will provide a three-month transition period (*i.e.*, until 12/10/02) from the date electronic filing becomes available until mandatory electronic filing takes effect. The Bureau will release a Public Notice approximately 30 days prior to mandatory electronic filing taking effect in order to remind filers of the approaching deadline.

### **Revised Version of FCC Form 602**

A revised hard-copy version of Form 602, that is consistent with the version that will be available electronically, will be released prior to September 10, 2002. A filer that chooses to file Form 602 manually during the three-month transition period must submit the most current version of Form 602. Any prior version of Form 602 will not be accepted.

### **Use of FCC Registration Number (FRN)**

As a reminder, beginning in November 2001, FCC Form 602 was revised to require the FRN for all individuals and entities disclosed on a filing instead of the Taxpayer Identification Number (TIN). The electronic filing system will also require the FRN for all individuals and entities disclosed on a filing. If you have not already done so, we encourage you to begin obtaining FRN's.<sup>5</sup>

**Note:** If an individual or entity is a wireless licensee, an FRN may have already been assigned. In order to verify if an FRN already exists, you may do the following:

1. Access the ULS home page at [<http://wireless.fcc.gov/uls>](http://wireless.fcc.gov/uls).
2. Select "Licenses."
3. Select "General" and hit "Continue."

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<sup>2</sup> See <http://wireless.fcc.gov/uls/applications/ownership/>.

<sup>3</sup> 47 C.F.R. § 1.913.

<sup>4</sup> See 47 C.F.R. §§ 0.331, 1.925(a).

<sup>5</sup> To obtain an FRN you must register in the Commission Registration System (Cores). See [<https://svartifoss2.fcc.gov/cores/CoresHome.html>](https://svartifoss2.fcc.gov/cores/CoresHome.html)

4. Enter a "Call Sign," "Licensee Name" or "Licensee ID" and hit "Continue."
5. The "Results" of your search will be displayed along with an FRN, if one has been assigned.

### **Interactive Demonstrations**

Interactive demonstrations regarding electronic filing will begin approximately one week after electronic filing is available. These demonstrations are intended only to provide guidance on how to navigate the electronic form and will not involve the discussion of specific ownership information that should or should not be submitted. The Bureau would like to gauge the number of people interested in participating in interactive demonstrations immediately after electronic filing becomes available. For those interested in participating, please e-mail James Brown at [jkbrown@fcc.gov](mailto:jkbrown@fcc.gov). In the subject line of the e-mail type "602 Demonstration" and provide your name, organization, and telephone number. The Bureau will release Public Notices indicating the actual dates for the interactive demonstrations closer to September 10, 2002.

### **Use of Legacy Ownership Information Database**

In May 2002, the Bureau made available via the internet an FCC Form 602 database containing forms that were filed manually and scanned into digital format by Commission staff.<sup>6</sup> We will continue to scan manually-filed forms into this database until electronic filing is available. The database will continue to be accessible for legacy Ownership Information filings after electronic filing becomes available (*i.e.*, the Bureau will not convert in any Ownership Information from this database into the electronic filing system).

For additional information regarding electronic filing of Form 602, contact James Brown of the Bureau's Commercial Wireless Division at (202) 418-1546 or [jkbrown@fcc.gov](mailto:jkbrown@fcc.gov)

### **Additional Information and Assistance**

**FCC Technical Support Hotline:** 202-414-1250 (TTY 202-414-1255), or via e-mail at [ulscomm@fcc.gov](mailto:ulscomm@fcc.gov). Contact the Technical Support Hotline about questions concerning computer access to ULS, uploading files, or submitting attachments in ULS. The hotline is available Monday through Friday, from 8 a.m. to 6 p.m. Eastern Time (except federal holidays). In order to provide better service to ULS users and ensure the security of the electronic filing system, all calls to the hotline are recorded.

**ULS Licensing Support and Forms Information:** 1-888-CALLFCC (225-5322), select option #2 or 717-338-2888. E-mail questions may be sent to [ulshelp@fcc.gov](mailto:ulshelp@fcc.gov). Contact Licensing Support with questions about which application purpose(s) are appropriate for a particular filing, what information is being requested on a ULS form or schedule, or any other ULS-related licensing matter. ULS Licensing Support is available Monday through Friday, from 8:00 a.m. to 5:30 p.m. Eastern Time (except federal holidays).

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<sup>6</sup> See "Electronic Access to the Ownership Disclosure Form, FCC Form 602, is Now Available," *Public Notice*, DA 02-1030 (rel. May 8, 2002).